

Sec for 1/9

PATENT

Attorney's Matter No. 5922-53642

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Art Unit: 2733

Michael J. Munroe, Alan E. Johnson, Anders
Grunnet-Jepsen, Eric S. Maniloff, Thomas W.
Mossberg, John N. Sweetser

CERTIFICATE OF MAILING

I hereby certify that this paper and the documents referred to as being
attached or enclosed herewith are being deposited with the United States
Postal Service on February 8, 2000, as First Class Mail in an envelope
addressed to: BOX MISSING PARTS, ASSISTANT COMMISSIONER FOR
PATENTS, WASHINGTON D.C. 20231.

Michael D. Jones
Attorney for Applicant

Application No.: 09/454,164

Filed: November 17, 1999

For: CODE-BASED OPTICAL NETWORKS,
METHODS, AND APPARATUS

Examiner:

Date: February 8, 2000

TRANSMITTAL LETTER

TO THE ASSISTANT COMMISSIONER FOR PATENTS
Washington, DC 20231

Enclosed for filing in the application referenced above are the following:

- ☒ Copy of Notice to File Missing Parts of Application--Filing Date Granted dated January 4, 2000
- ☒ Copy of Filing Receipt
- ☒ Verified Statement Claiming Small Entity Status (Small Business Concern)
- ☒ Filing Fee of \$506.00
- ☒ Combined Declaration and Power of Attorney (2)
- ☒ Surcharge for Late Filing of Fee or Oath or Declaration:
 - ☒ \$65.00 - Small Entity
 - ☐ \$130.00 - All Others
- ☒ A check in the amount of \$571.00 to cover the above-listed fees.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit over-payment, to Account No. 02-4550. A copy of this sheet is enclosed.
- ☒ Please return the enclosed postcard to confirm that the items listed above have been received.

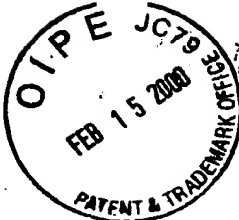
Respectfully submitted,

KLARQUIST SPARKMAN CAMPBELL
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By

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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

Templex / MJ
DLS

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/454,164 11/17/99 GRUNNET-JEPSEN A 5922-53642

0212/0104

KLARQUIST SPARKMAN CAMPBELL LEIGH
& WHINSTON LLP
ONE WORLD TRADE CENTER SUITE 1600
121 S W SALMON STREET
PORTLAND OR 97204-2988

NOT ASSIGNED

DATE MAILED: 2733

01/04/00

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☐ small entity (statement filed) ☐ non-small entity is \$ 1142.00

☒ 1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 18 for 18 total claims over 20.

\$ 234 for 78 independent claims over 3.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☐ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER: _____

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

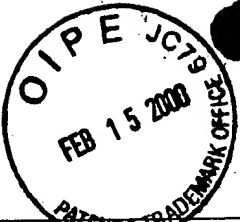
Customer Service Center
Initial Patent Examination Division (703) 308-1202

02/17/2000 KZEWIE 00000071 09454164

01 FC:201
02 FC:205
03 FC:299

380.00 OP
65.00 OP
126.00 OP

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
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Washington, D.C. 20231

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/454,164	11/17/99	2733	\$0.00	5922-53642	5	21	6

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) ANDERS GRUNNET-JEPSEN, EUGENE, OR; ALAN E. JOHNSON, EUGENE, OR; ERIC S. MANILOFF, EUGENE, OR; THOMAS W. MOSSBERG, EUGENE, OR; MICHAEL J. MUNROE, EUGENE, OR; JOHN N. SWEETSER, EUGENE, OR.

CONTINUING DATA AS CLAIMED BY APPLICANT-
PROVISIONAL APPLICATION NO. 60/108,701 11/17/98

TITLE
CODE-BASED OPTICAL NETWORKS, METHODS, AND APPARATUS

PRELIMINARY CLASS: 359

PREVIOUSLY SUBMITTED

PLEASE CORRECT AS FOLLOWS

MICHAEL J. MUNROE, EUGENE, OR; ALAN E. JOHNSON, EUGENE, OR;
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THOMAS W. MOSSBERG, EUGENE, OR; JOHN N. SWEETSER, EUGENE, OR.

RECEIVED

DATA ENTRY BY: ZIMMERMAN, SHUANA

TEAM: 01

DATE: 12/29/99 JAN 10 2000

|||||

KLARQUIST; SPARKMAN, CAMPBELL
LEIGH & WHINSTON

(See reverse for new important information)